

06/13/01
J1044 U.S. PTO

6-14-01

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	728-208 (YOR9-2001-0270 US1)
First Inventor	LOUIS L. HSU
Title	T-RAM CELL HAVING A BURIED VERTICAL..
Express Mail Label No.	EL 814600602 US

JC971 U.S. PTO
09/880223

06/13/01

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 15]
(preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
5. Oath or Declaration [Total Pages 7]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
 - i. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney
(when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other: Associate Power of Attorney

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

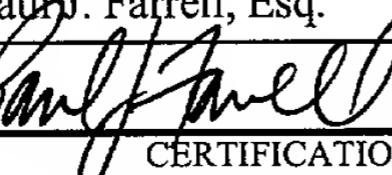
Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____

Prior application information: Examiner _____

Group Art Unit: _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

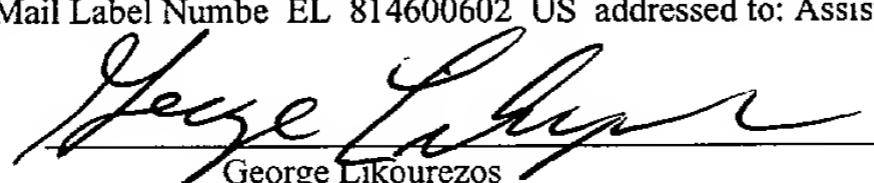
19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or Attach bar code label here)			<input type="checkbox"/> or <input checked="" type="checkbox"/> Correspondence address below
Name	Paul J. Farrell, Esq.			
Address	DILWORTH & BARRESE, LLP			
	333 Earle Ovington Blvd.			
City	Uniondale	State	New York	Zip Code 11553
Country	U.S.A	Telephone	(516) 228-8484	Fax (516) 228-8516
Name (Print/Type)	Paul J. Farrell, Esq.		Registration No. (Attorney/Agent)	33,494
Signature			Date	6/13/01

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this correspondence and the documents referred to as enclosed are being deposited with the United States Postal Service on date below in an envelope as "Express Mail Post Office to Addressee" Mail Label Numbe EL 814600602 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Dated: 6/13/01


George Likourezos

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10/13/01

PTO/SB/17 (11-00)

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 894.00)

Complete if Known

Application Number	
Filing Date	June 13, 2001
First Named Inventor	LOUIS L. HSU
Examiner Name	
Group Art Unit	
Attorney Docket No.	728-208 (YOR9-2001-0270 US1)

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 50-0510/IBM (Yorktown Heights)

Deposit Account Name IBM (Yorktown Heights)

 Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 Applicant claims small entity status. See 37 CFR 1.27

2. Payment Enclosed:

 Check Credit card Money Order Other

FEE CALCULATION (continued)

3. ADDITIONAL FEES

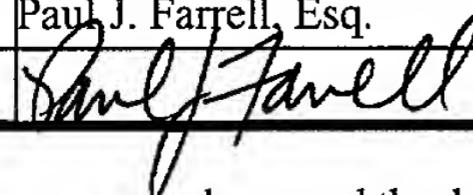
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105	130	Surcharge - late filing fee or oath	
127	50	Surcharge - late provisional filing fee or cover sheet	
139	130	Non-English specification	
147	2,520	For filing a request for ex parte reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
115	110	Extension for reply within first month	
116	390	Extension for reply within second month	
117	890	Extension for reply within third month	
118	1,390	Extension for reply within fourth month	
128	1,890	Extension for reply within fifth month	
119	310	Notice of Appeal	
120	310	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive - unavoidable	
141	1,240	Petition to revive - unintentional	
142	1,240	Utility issue fee (or reissue)	
143	440	Design issue fee	
144	600	Plant issue fee	
122	130	Petitions to the Commissioner	
123	50	Processing fee under 37 CFR 1.17(q)	
126	240	Submission of Information Disclosure Stmt	
581	40	Recording each patent assignment per property (times number of properties)	\$40
146	710	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	Request for Continued Examination (RCE)	
169	900	Request for expedited examination of a design application	

Other fee (specify) _____

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

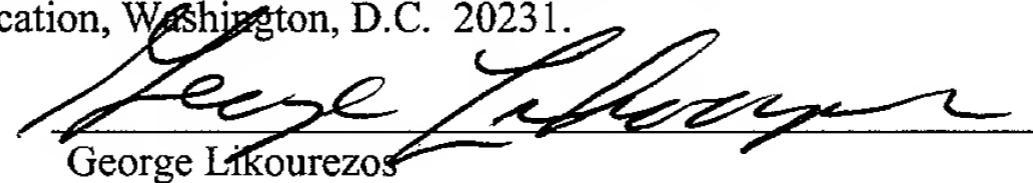
SUBMITTED BY

Name (Print/Type)	Paul J. Farrell, Esq.	Registration No. (Attorney/Agent)	33,494	Telephone	(516) 228-8484
Signature				Date	6/13/01

CERTIFICATION UNDER 37 C.F.R. § 1.10

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Dated: 6/13/01



George Likourezos

Assistant Commissioner for Patents

ATTORNEY DOCKET NO. 728-208 (Y09-2001-0270 US1)

Washington, D.C. 20231

Sir:

Date: June 13, 2001

Express Mail Label: EL 814600602 US

Date of Deposit: June 13, 2001

Transmitted herewith for filing is the Patent Application of:

Inventors: LOUIS L. HSU; RAJIV V. JOSHI; and FARIBORZ ASSADERAGHI

For: T-RAM CELL HAVING A BURIED VERTICAL THYRISTOR AND A PSEUDO-TFT TRANSFER GATE AND METHOD FOR FABRICATING THE SAME

Enclosed are: 9 sheets of specification; 1 sheet(s) of Abstract; 5 sheet(s) of claims; 5 sheet(s) of drawing(s);

An assignment of the invention to International Business Machines Corporation with Recordation Form.

Declaration and Power of Attorney.

A certified copy of a _____ application, from which priority under Title 35 USC §119 is claimed.

Associate Power of Attorney.

The filing fee has been calculated as shown below:

	(Col. 1)	(Col. 2)
FOR:	NO. FILED	NO. EXTRA
BASIC FEE		
TOTAL CLAIMS	28 - 20 =	8
INDEP CLAIMS	3 - 3 =	0
<u>MULTIPLE DEPENDENT CLAIMS PRESENTED</u>		

If the difference in Col. 1 is less than zero, enter "0" in Col. 2.

OTHER THAN A SMALL ENTITY	
RATE	FEE
	\$ 710.00
X \$18 =	144.00
X \$80 =	00.00
+ 270 =	
TOTAL	\$ 854.00

A check in the amount of \$ _____ to cover the filing fee(s) and a check to cover the recording fee are enclosed.

Please charge my Deposit Account No. 50-0510 in the amount of \$ 854.00.

The Commissioner is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 50-0510/IBM (Yorktown Heights). A duplicate copy of this sheet is enclosed.

Any additional filing fees required under 37 CFR 1.16.

Any patent application processing fees under 35 CFR 1.17.

Respectfully submitted,

By:


Paul J. Farrell
Registration No. 33,494

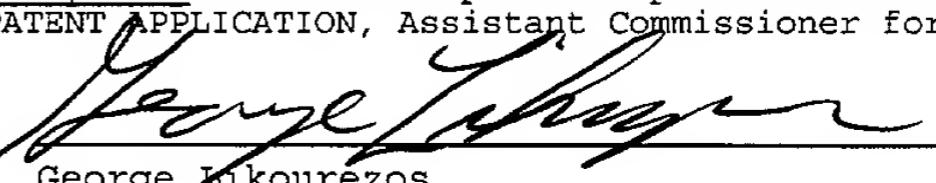
Attorney for:
IBM Corporation
Intellectual Property Law Dept.
P.O. Box 218
Yorktown Heights, NY 10598

Please address all correspondence to:

DILWORTH & BARRESE, LLP
333 Earle Ovington Boulevard
Uniondale, NY 11553
Tel: (516) 228-8484
Fax: (516) 228-8516

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date June 13, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 814600602 US addressed to: BOX PATENT APPLICATION, Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.


George Likourezos

PATENT

Atty. Docket No. 728-208 (YOR9-2001-0270 US1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION

Assistant Commissioner for Patents
Washington, D.C. 20231

UTILITY APPLICATION DATA SHEET UNDER 37 C.F.R. § 1.76

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) : LOUIS L. HSU; RAJIV V. JOSHI and

FARIBORZ ASSADERAGHI

For:

T-RAM CELL HAVING A BURIED VERTICAL THYRISTOR AND
A PSEUDO-TFT TRANSFER GATE AND METHOD FOR
FABRICATING THE SAME

Enclosed are:

15 page(s) of specification
(including **claims** and **abstract**)

5 sheets of drawings [] formal informal

7 page(s) of Declaration and Power of Attorney

6 page(s) An Assignment of the invention
(including **Recordation Form Cover Sheet**)

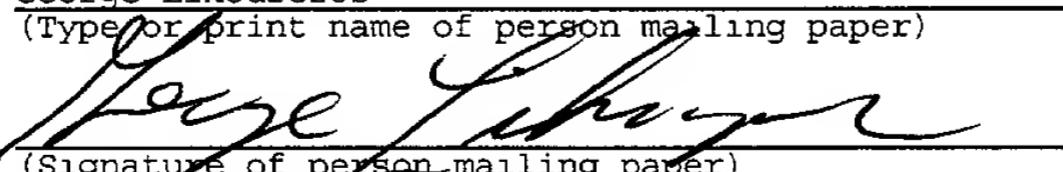
1 page(s) Associate Power of Attorney

Assignee Name: INTERNATIONAL BUSINESS MACHINES CORPORATION

Assignee Residence: Armonk, New York

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date June 13, 2001 in an envelope as "Express Mail Post Office to Addressee" Mail Label Number EL 814600602 US addressed to: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

George Likourezos
(Type or print name of person mailing paper)

(Signature of person mailing paper)

[] This application claims the benefit under 35 U.S.C. §119(e) of U.S. Provisional Application(s) No(s) : .

APPLICATION NO(S) : .

FILING DATE

____/_____

____/_____

____/_____

____/_____

[] Certified copy of applications

Country

Appln. No.

Filed

from which priority under Title 35 United States Code, § 119 is claimed

[] is enclosed.

[] will follow.

Address all future correspondence to:

Paul J. Farrell, Esq.
DILWORTH & BARRESE LLP
333 Earle Ovington Boulevard
Uniondale, New York 11553
(516) 228-8484

Date: June 13, 2001



SIGNATURE OF ATTORNEY

Paul J. Farrell

Reg. No. 33,494

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